



031204 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	19546.0055
First Inventor	Masaharu Doi
Title	"AN OPTICAL MODULATOR WITH AN IMPEDANCE MATCHING REGION"
Express Mail Label No.	

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.		ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 48] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7] 5. Oath or Declaration [Total Sheets] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies ACCOMPANYING APPLICATIONS PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 C.F.R. 3.73(b) Statement <input checked="" type="checkbox"/> Power of (when there is an assignee) Attorney 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Claim for Priority	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: ____ / ____ Prior application information: Examiner ____ Art Unit: ____ For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input checked="" type="checkbox"/> Customer Number		23517 OR <input type="checkbox"/> Correspondence address below	
Name	Edward A. Pennington Swidler Berlin Shereff Friedman, LLP		
Address	3000 K Street, NW Suite 300		
City	Washington	State	D.C.
Country	US	Telephone	202-424-7500
		Fax	202-295-8478

Name (Print/Type)	Michael A. Schwartz	Registration No. (Attorney/Agent)	40,161
Signature	<i>Michael A. Schwartz</i>	Date	March 12, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

 22858 U.S. PTO
 10/798853

031204

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 810

Complete if Known

Application Number	TBD
Filing Date	March 12, 2004
First Named Inventor	Masaharu Doi
Examiner Name	TBD
Art Unit	TBD
Attorney Docket No.	19546.0055

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																																																																																																																																																																																																																																																	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None		3. ADDITIONAL FEES																																																																																																																																																																																																																																																																	
<input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: 19-5127 (19546.0055) Deposit Account Name:		<table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td>1051</td> <td>130</td> <td>2051</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1052</td> <td>50</td> <td>2052</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet.</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1053</td> <td>130</td> <td>2053</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1812</td> <td>2,520</td> <td>2052</td> <td>2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1804</td> <td>920*</td> <td>2052</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1805</td> <td>1,840*</td> <td>2052</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1251</td> <td>110</td> <td>2251</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1252</td> <td>420</td> <td>2252</td> <td>210</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1253</td> <td>950</td> <td>2253</td> <td>475</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1254</td> <td>1,480</td> <td>2254</td> <td>740</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1255</td> <td>2,010</td> <td>2255</td> <td>1,005</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1401</td> <td>330</td> <td>2401</td> <td>165</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1402</td> <td>330</td> <td>2402</td> <td>165</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1403</td> <td>290</td> <td>2403</td> <td>145</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1451</td> <td>1,510</td> <td>2451</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1452</td> <td>110</td> <td>2452</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1453</td> <td>1,330</td> <td>2453</td> <td>665</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1501</td> <td>1,330</td> <td>2501</td> <td>665</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1502</td> <td>480</td> <td>2502</td> <td>240</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1503</td> <td>640</td> <td>2503</td> <td>320</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1460</td> <td>130</td> <td>2460</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1807</td> <td>50</td> <td>2807</td> <td>50</td> <td>Processing fee under 37 CFR 1.17 (q)</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1806</td> <td>180</td> <td>2806</td> <td>180</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td></td> <td></td> <td>8021</td> <td>40</td> <td>8021</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td>40</td> </tr> <tr> <td></td> <td></td> <td>1809</td> <td>770</td> <td>2809</td> <td>385</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1810</td> <td>770</td> <td>2810</td> <td>385</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1801</td> <td>770</td> <td>2801</td> <td>385</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1802</td> <td>900</td> <td>2802</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="2"></td> <td colspan="6">Other fee (specify) _____</td> </tr> <tr> <td colspan="2"></td> <td colspan="6">*Reduced by Basic Filing Fee Paid</td> </tr> <tr> <td colspan="2"></td> <td colspan="6">SUBTOTAL (3) (\$) 40</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid			1051	130	2051	65	Surcharge - late filing fee or oath				1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.				1053	130	2053	130	Non-English specification				1812	2,520	2052	2,520	For filing a request for reexamination				1804	920*	2052	920*	Requesting publication of SIR prior to Examiner action				1805	1,840*	2052	1,840*	Requesting publication of SIR after Examiner action				1251	110	2251	55	Extension for reply within first month				1252	420	2252	210	Extension for reply within second month				1253	950	2253	475	Extension for reply within third month				1254	1,480	2254	740	Extension for reply within fourth month				1255	2,010	2255	1,005	Extension for reply within fifth month				1401	330	2401	165	Notice of Appeal				1402	330	2402	165	Filing a brief in support of an appeal				1403	290	2403	145	Request for oral hearing				1451	1,510	2451	1,510	Petition to institute a public use proceeding				1452	110	2452	55	Petition to revive - unavoidable				1453	1,330	2453	665	Petition to revive - unintentional				1501	1,330	2501	665	Utility issue fee (or reissue)				1502	480	2502	240	Design issue fee				1503	640	2503	320	Plant issue fee				1460	130	2460	130	Petitions to the Commissioner				1807	50	2807	50	Processing fee under 37 CFR 1.17 (q)				1806	180	2806	180	Submission of Information Disclosure Stmt				8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40			1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))				1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))				1801	770	2801	385	Request for Continued Examination (RCE)				1802	900	2802	900	Request for expedited examination of a design application				Other fee (specify) _____								*Reduced by Basic Filing Fee Paid								SUBTOTAL (3) (\$) 40					
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																												
		1051	130	2051	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																																																													
		1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																																																																																																													
		1053	130	2053	130	Non-English specification																																																																																																																																																																																																																																																													
		1812	2,520	2052	2,520	For filing a request for reexamination																																																																																																																																																																																																																																																													
		1804	920*	2052	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																																													
		1805	1,840*	2052	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																													
		1251	110	2251	55	Extension for reply within first month																																																																																																																																																																																																																																																													
		1252	420	2252	210	Extension for reply within second month																																																																																																																																																																																																																																																													
		1253	950	2253	475	Extension for reply within third month																																																																																																																																																																																																																																																													
		1254	1,480	2254	740	Extension for reply within fourth month																																																																																																																																																																																																																																																													
		1255	2,010	2255	1,005	Extension for reply within fifth month																																																																																																																																																																																																																																																													
		1401	330	2401	165	Notice of Appeal																																																																																																																																																																																																																																																													
		1402	330	2402	165	Filing a brief in support of an appeal																																																																																																																																																																																																																																																													
		1403	290	2403	145	Request for oral hearing																																																																																																																																																																																																																																																													
		1451	1,510	2451	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																													
		1452	110	2452	55	Petition to revive - unavoidable																																																																																																																																																																																																																																																													
		1453	1,330	2453	665	Petition to revive - unintentional																																																																																																																																																																																																																																																													
		1501	1,330	2501	665	Utility issue fee (or reissue)																																																																																																																																																																																																																																																													
		1502	480	2502	240	Design issue fee																																																																																																																																																																																																																																																													
		1503	640	2503	320	Plant issue fee																																																																																																																																																																																																																																																													
		1460	130	2460	130	Petitions to the Commissioner																																																																																																																																																																																																																																																													
		1807	50	2807	50	Processing fee under 37 CFR 1.17 (q)																																																																																																																																																																																																																																																													
		1806	180	2806	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																													
		8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40																																																																																																																																																																																																																																																												
		1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																																																																													
		1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																																																																													
		1801	770	2801	385	Request for Continued Examination (RCE)																																																																																																																																																																																																																																																													
		1802	900	2802	900	Request for expedited examination of a design application																																																																																																																																																																																																																																																													
		Other fee (specify) _____																																																																																																																																																																																																																																																																	
		*Reduced by Basic Filing Fee Paid																																																																																																																																																																																																																																																																	
		SUBTOTAL (3) (\$) 40																																																																																																																																																																																																																																																																	
1. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td>1001</td> <td>770</td> <td>2001</td> <td>385</td> <td>Utility filing fee</td> <td>770</td> </tr> <tr> <td></td> <td></td> <td>1002</td> <td>340</td> <td>2002</td> <td>170</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1003</td> <td>530</td> <td>2003</td> <td>265</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1004</td> <td>770</td> <td>2004</td> <td>385</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td></td> <td></td> <td>1005</td> <td>160</td> <td>2005</td> <td>80</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="6"></td> <td>SUBTOTAL (1)</td> <td>(\$) 770</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid			1001	770	2001	385	Utility filing fee	770			1002	340	2002	170	Design filing fee				1003	530	2003	265	Plant filing fee				1004	770	2004	385	Reissue filing fee				1005	160	2005	80	Provisional filing fee								SUBTOTAL (1)	(\$) 770	2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>12</td> <td>-20 **</td> <td>0</td> <td>0</td> </tr> <tr> <td>Independent Claims</td> <td>2</td> <td>-3 **</td> <td>0</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>0</td> </tr> <tr> <td colspan="3"></td> <td>SUBTOTAL (2) (\$) 0</td> </tr> </tbody> </table>		Total Claims	Extra Claims	Fee from below	Fee Paid	12	-20 **	0	0	Independent Claims	2	-3 **	0	Multiple Dependent			0				SUBTOTAL (2) (\$) 0																																																																																																																																																																																				
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																												
		1001	770	2001	385	Utility filing fee	770																																																																																																																																																																																																																																																												
		1002	340	2002	170	Design filing fee																																																																																																																																																																																																																																																													
		1003	530	2003	265	Plant filing fee																																																																																																																																																																																																																																																													
		1004	770	2004	385	Reissue filing fee																																																																																																																																																																																																																																																													
		1005	160	2005	80	Provisional filing fee																																																																																																																																																																																																																																																													
						SUBTOTAL (1)	(\$) 770																																																																																																																																																																																																																																																												
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																																																																																
12	-20 **	0	0																																																																																																																																																																																																																																																																
Independent Claims	2	-3 **	0																																																																																																																																																																																																																																																																
Multiple Dependent			0																																																																																																																																																																																																																																																																
			SUBTOTAL (2) (\$) 0																																																																																																																																																																																																																																																																

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Michael A. Schwartz	Registration No. (Attorney/Agent)	40,161
Signature	<i>Michael A. Schwartz</i>	Telephone	202-424-7856
		Date	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.